Broadridge®

A smarter, more strategic approach to regulatory reporting

OUR PROVEN, BUILT-FOR-PURPOSE REPORTING PLATFORM PROVIDES:

- Exceptional coverage
- Agility and flexibility
- Transparency
- Efficiency
- Control

REPORTING TRADES AND TRANSACTIONS IS A COMPLEX TASK

You must comply with fast-changing regulations, manage different requirements across multiple asset classes and jurisdictions and meet tight deadlines or risk severe penalties.

Broadridge brings greater control and transparency to regulatory reporting. Our agile, end-to-end solution simplifies reporting to a wide range of repositories, from multiple internal systems and across asset classes:

- CFTC Dodd-Frank
- ESMA EMIR and ESMA MiFID II
- CSA Canadian and IIROC Canadian
- MAS Singapore
- HKMA Hong Kong
- ASIC Australia
- J-FSA Japan
- FinfraG Switzerland
- ESMA SFTR (under development)
- SEC Consolidated Audit Trail (under development)

BENEFIT FROM OUR EXTENSIBLE DATA MODEL

Now you can always choose the most cost-effective way to report. Our solution provides complete independence from all trade repositories, ARMs, APAs and end-regulators. With a single abstraction layer between multiple internal systems and multiple external destinations, our clients avoid being inextricably linked to a single external provider, and any associated concerns about commercial inflexibility or unsatisfactory operational performance are alleviated.

This extensible data model makes it possible to use more than one destination for each jurisdiction concurrently, perhaps per asset class or purpose, and you can change destinations at any time with minimal disruption.

NAVIGATE REGULATORY CHANGES WITH EASE

We extract full economic details of all trades and transactions as the basis for every project, and create a single database from which all reporting is achieved via standard rule sets maintained by Broadridge. When regulations change, or new jurisdictions are required, we rarely need to revert back to the individual source systems to make changes, or request changes from vendors. This single harmonized database of all trades, free from taxonomy and protocol differences, can also be used for many non-TTR purposes.

KEEP CONTROL OF YOUR DATA

With Broadridge, you retain direct control of your data at all stages of the reporting process: from sourcing trade economics and reference data from internal and external systems through data validation and report submission, to management of responses from TRs/ARMs and ultimately, to full verification of records back to source systems.

GAIN OPERATIONAL EFFICIENCY

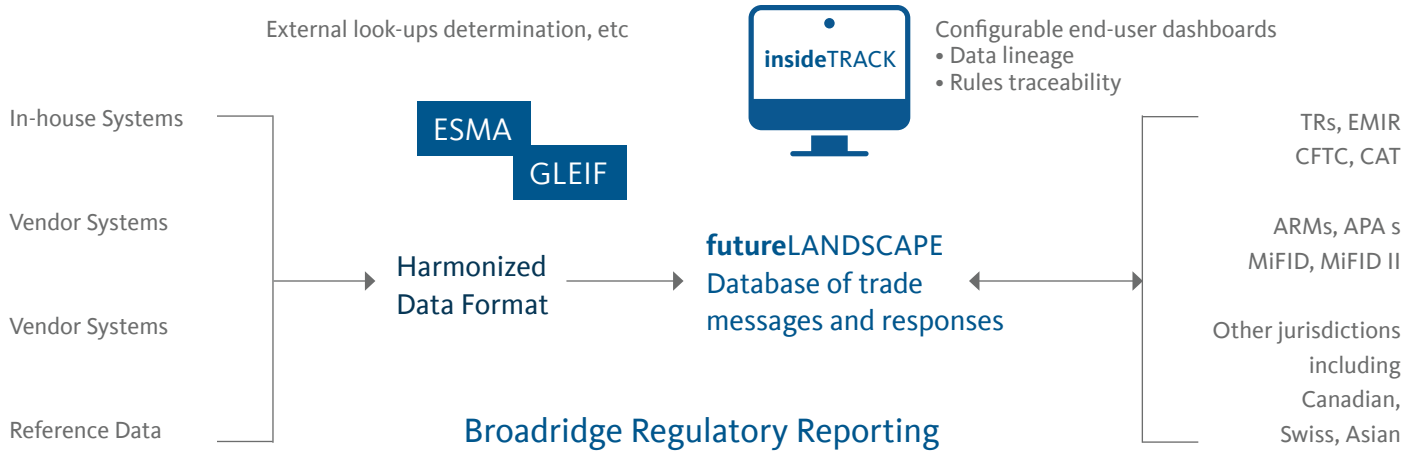
We understand that accurate and timely reporting in the context of changing requirements is challenging. Our underlying patented technology is configured to meet these challenges while reducing the operational overhead involved.

Clients can manage, access and control all regulatory reporting and associated data through a single dashboard. All underlying messages and technical information are easily accessible. The exception management workflow is entirely rules-based, all determinations and decisions are fully audited and visible through our data lineage and rules traceability capabilities.

OUR AGILE, END-TO-END SOLUTION ENSURES COMPLIANCE AND EFFICIENCY WHILE REDUCING RISK

- Connect to a broad range of external reporting destinations
- Pre-delivered logic for reportability determination and format validation
- One solution for all asset classes
- Highly configurable operations dashboard for handling alleges and exceptions workflows and reporting
- Real-time and continuation reporting
- Third-party reporting and "On Behalf Of" functionality
- Rule-based business validation ensures conformance with regulators' message formats

OUR EXTENSIBLE DATA MODEL MEANS YOU DON'T HAVE TO RE-INVENT THE WHEEL WHEN REGULATORY REQUIREMENTS CHANGE



Broadridge, a global fintech leader with over $4 billion in annual revenue listed on the S&P 500 index, provides communications, technology, data and analytics. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

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Ready for Next

Communications
Technology
Data and Analytics

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